

DRAFT

Initial Audit Report

NASA Headquarters

Washington, DC

DNV Order Number 61-02734-64

DNV Report Number 61-02734-64-IA

ACCREDITED MANAGEMENT SYSTEM CERTIFICATION

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Distribution

----- --Scott Holliday

----- DNV Certification, Inc. - Christine Farrell

----- Client File

DET NORSKE VERITAS CERTIFICATION, INC.

ACCREDITED MANAGEMENT SYSTEM CERTITICATION

1.0 COMPANY INFORMATION

Company Name:	NASA Headquarters
Contact Name	Scott Holliday
Street Address:	300 E Street SW - Mail Code R
City, State Zip:	Washington, DC 20546
Telephone Number	(202) 358-1096
Facsimile Number	(202) 358-2900
Order Number	61-02734-64
ISO Standard	9001, 1994 Edition
Scheme	RvA/RAB
Lead Auditor	Henry G. Ingber
Audit Team Member	John Swanberg
Audit Dates	17-21 May 1999
Report Date	22 May 1999
Prepared by	Henry G. Ingber Lead Auditor

Approved by

Approval Date

District Manager

STATEMENT OF CONFIDENTIALITY

THE CONTENTS OF THIS REPORT INCLUDING ANY NOTES AND CHECKLISTS COMPLETED DURING THE INITIAL AUDIT WILL BE TREATED IN THE STRICTEST CONFIDENCE, AND WILL NOT BE DISCLOSED TO ANY THIRD PARTY WITHOUT WRITTEN CONSENT OF THE CUSTOMER, EXCEPT AS REQUIRED BY THE ACCREDITATION AUTHORITIES FOR THEIR ASSESSMENT OF THE DNV ACCREDITED MANAGEMENT SYSTEM CERTIFICATION SCHEME.

2.0 INTRODUCTION

2.1 System Standard: ISO 9001 **Issue:** 1994 Edition

2.2 Certification Scope:

Corporate headquarters for the management of the National Aeronautics & Space Administration (NASA) Strategic Enterprises - Scientific Research, Space Exploration, and Technology Development and Transfer missions.

2.3 RvAISIC Codes: 021, 2761/8733

2.4 Product Standards or Statutory Requirements:

Customer/contract specific.

3.0 COMPANY DESCRIPTION

3.1 Description of Company:

NASA Headquarters group is located in Washington, DC. NASA Headquarters has ultimate responsibility for designing the Nation's civil aeronautics and space program. Headquarters also provides advocacy, education, public outreach, and collaboration related to NASA-wide endeavors in scientific research, space exploration, and technology development and transfer.

3.2 Location Audited:

Location:	Washington, DC
Number of Employees:	350
Number of Shifts:	1
Number of Employees per Largest Shift:	Not Applicable

ACCREDITED MANAGEMENT SYSTEM CERTIFICATION

4.0 DOCUMENTATION

4.1 Checklist Used:

DNV Certification, Inc., Assessment Checklist, ISO 9001 & ISO 9002 (11994 Edition),
Revision 4 - 14 June 1995

4.2 Quality Manual Revision Status:

Headquarters Quality System Manual, Rev.A dated 29 April 1999

4.3 Document Review Report Identification:

61-02734-64-DR

All formal issues resulting from the quality manual review were satisfactorily resolved prior to or during the Initial Audit.

4.4 Initial Visit Report Identification:

61-02734-64-IV

4.5 Extent:

The following requirements were considered as not applicable with respect to the activities of the Auditee*

Element 4.7 Control of Customer-Supplied Product
Element 4.11 Control of Inspection, Measuring and Test Equipment
Element 4.15 Handling, Storage, Packaging, Preservation and Delivery
Element 4.19 Servicing

5.0 AUDIT RESULTS

5.1 Recommendation:

The results of the Initial Audit are such that the Client's Management System will be recommended for certification.

5.2 Summary & Status of Nonconformities:

During the audit, four (4) Category 2 nonconformities were issued. These NCNs require implementation, as discussed, within thirteen (13) weeks of the last day of the audit.

Details of the above nonconformity notes are given in the Nonconformity Note Summary. Copies of these NCNs are attached to this report.

Observations:

Observations made by the audit team and worthy of note are given below-.

5.3.1) It was observed during the examination of quality records, that similar records between Codes have been identified differently against procedure NPG 1441.1 "Record Retention Schedules" definitions. There is no non-compliance, however, this has resulted in varying retention and disposition requirements of certain quality records.

5.3.2) It was also observed that quality documents in some instances, which currently originate in Codes outside the scope of this audit, will become required quality records in Phase 2 ISO registration, e.g., Code CP records of training such as diplomas, certificates, etc.

5.4 Audit Activity Matrix:

Please refer to the attached audit activity matrix.

The checked elements indicate the elements applicable within each department.

ACCREDITED MANAGEMENT SYSTEM CERTIFICATION

6.0 NONCONFORMITY NOTE SUMMARY

ISO STANDARD 9001

.....QUALITY SYSTEM ELEMENTSISO CLAUSE CATEGORY
.		12
Management Responsibility	4.1	
Quality System	4.2	
Contract Review	4.3	
Design Control	4.4	
Document and Data Control	4.5	1
Purchasing	4.6	
Control of Customer-Supplied Product	4.7	Not Applicable
Product Identification and Traceability	4.8	Refer 4.9
Process Control	4.9	2
Inspection and Testing	4.10	Refer 4.9
Control of Inspection, Measuring and Test Equipment	4.11	Not Applicable
Inspection and Test Status	4.12	Refer 4.9
Control of Nonconforming Product	4.13	Refer 4.9
Corrective and Preventive Action	4.14	
Handling, Storage, Packaging, Preservation and Delivery	4.15	Not Applicable
Control of Quality Records	4.16	1
Internal Quality Audits	4.17	
Training	4.18	
Servicing	4.19	Not Applicable
Statistical Techniques	4.20	
		04

7.0 PERIODICAL AUDIT PLAN

STANDARD ISO 9001						
Certificate Holder: NASA Headquarters				Manday Requirement:		
Location: Washington, DC						
Order No.: 61-02734-64		Certificate No.:####		Expiration Date:		
No. of Employees (First Shift): Not Applicable		Date: 22 May 1999		Revision No.: 0		
Prepared by: Henry G. Ingber				Scheme: RvA/RAB		
... ..QUALITY SYSTEM ELEMENTS	STD REF	11/99 ...	5/00....	000-00 11/00	5/0111/01 ...
Management Responsibility	4.1	X	X	X	X	X
Quality System	4.2	X	X	X	X	X
Contract Review	4.3	X		X		X
Design Control	4.4			X		
Document and Data Control	4.5	X	X	X	X	X
Purchasing	4.6	X			X	
Control of Customer-Supplied Product	4.7	Not Applicable				
Product Identification and Traceability	4.8	Not Applicable - Included in element 4.9				
Process Control	4.9	X	X	X	X	X
Inspection and Testing	4.10	Not Applicable - Included in element 4.9				
Control of Inspection, Measuring and Test Equipment	4.11	Not Applicable				
Inspection and Test Status	4.12	Not Applicable - Included in element 4.9				
Control of Nonconforming Product	4.13	Not Applicable - Included in element 4.9				
Corrective and Preventive Action	4.14	X	X	X	X	X
Handling, Storage, Packaging, Preservation and Delivery	4.15	Not Applicable				
Control of Quality Records	4.16	X	X	X	X	X
Internal Quality Audits	4.17	X	X	X	X	X
Training	4.18	X	X	X	X	X
Servicing	4.19	Not Applicable				
Statistical Techniques	4.20	X	X	X	X	X
Use of Certification Marks		X	X	X	X	X

NONCONFORMITY NOTE			
Auditee: NASA Headquarters		Location: Washington, DC	
Audit Dates: 17-21 May 1999		Order No.: 61-02734-64	
Standard: ISO 9001, 1994	Clause No.: 4.9	NCN No.: 01/IA	Category No.: 2
Department: Code M - Space Flight			
Finding: During the course of the audit, it was observed that OWI 1450-MO20 Rev.A, flowchart reference step #5, states that the response to receipt of mail, correspondence or action items is required 10 working days after receipt of the document, unless specified otherwise within the document, however, the Action Tracking Log entry #M/1 999-00293 indicates a document was received 3/12/99 with a response due date of 3126/99, and is still open as of 5/19/99. The OWI is deficient in that there is no indication as to what action is now required.			
Auditor Signet	Signal re	Completion Date Agreed: 20 August 1999	
CAUSE OF NONCONFORMITY: The process did not provide an option for the actionee to extend or revise the action item due date. This resulted in unrealistic due dates being set without consideration being given to the time needed to adequately address the action.			
CORRECTIVE ACTION RESPONSE: OWI 1450-MO20 will be modified to allow realistic due dates to be assigned and the process revised to effectively address those action items that are overdue. Auditee's Signature			
.....			
District Office Use Only			
The above corrective action response has been reviewed by the undersigned and has been found: (x) Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/> Additional information required			
Reviewed by: Henry g. Ingber		Lead Auditor	Date:
Comments: Response appears adequate.			
Follow-up at the next Periodical Audit			
Results of Corrective Action Measures:			
<input type="checkbox"/> Implemented/Effective <input type="checkbox"/> Not Implemented/Not Effective <input type="checkbox"/> Verify Implementation			
Verified by:		Lead Auditor	Date:
Comments:			

NONCONFORMITY: NOTE

Auditee: NASA Headquarters-		Location: Washington, DC	
Audit Dates: 17-21 May 1999		Order No.: 61-02734-64	
Standard: ISO 9001, 1994	Clause No.: 4.9	FNCN No.: 02/IA	category No.: 2
Department: Code U - Office of Life and Microgravity Science and Application			

Finding:

Office Work Instruction (OWI) 7000-1-1011, Rev.A, is deficient in that it does not reflect the current process. Ex: Section 5, step #8 of the flowchart process requires an approval/concurrence in the performance/mission objectives and metrics by the Associate Administrator, however, there is a lack of objective evidence that this is done.

Auditor Signature	Auditee Signature	Completion Date Agreed: 20 August 1;99
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CLAUSE OF NONCONFORMITY: I

OWI 7000-UO1 1 Rev.A "Flight Requirements Planning and Integration" does not reflect the approved process for information transfer to the Associate Administrator for agreement.

CORRECTIVE ACTION RESPONSE:

- 1) Modify section 5, step #6 and section 6, step #6 of the above OWI to require signature indicating receipt of the Mission Summary Brief (MSB) by the Associate Administrator.
- 2) Add MSB to record retention table in section 7 of above OWL

Auditee's Signature

District Office Use Only

The above corrective action response has been reviewed by the undersigned and has been found:

☒ Satisfactory ☐ Not Satisfactory ☐ Additional information required

Reviewed by: _____ Lead Auditor _____ Date: _____

Comments: Response appears adequate

follow-up at next Periodical Audit

Results of Corrective Action Measures:

- ☐ Implemented/Effective ☐ Not Implemented/Not Effective ☐ Verify Implementation

Verified by: Lead Auditor Date: _____

Comments: _____

NONCONFORMITY NOTE			
Auditee: NASA Headquarters-			Location: Washington, DC
Audit Dates: 17-21 May 1999			Order No.: 61-02734-6~-
Standard: ISO 9001, 1994	Clause No.: 4.5	TNCN No.: 03/IA	Category No.: 2
Department: Code R - Office of Aero-Space Technology			
Finding: Contrary to the requirements of ISO 9001:1994 section 4.5, procedures do not, in all cases, adequately assure that documents and data are controlled and have been reviewed and approved prior to issue and use, Examples: (1) it was revealed during interview that the methods used, (HOWI-7040-RO08A) of restricted directory access on servers and (2) the use of password protection to control privileges for placing accepted process results into use (HOWI-721 0-R01 4A) are not described within procedures. (3) Also, it was observed that an unapproved (draft version) of a Division document was used in Code R as input data for the process described in HOWI-7210-R014A.			
Audit signature	Auditee Signature		Completion Date Agreed: 20 August 1999
CAUSE OF NONCONFORMITY: Regarding examples 1 and 2, the methods for controlling electronic documents were not adequately described within the documented procedures due to inexperience in the application of QSM 4.5 requirements. Regarding example 3, due to inexperience in adequately documenting work requirements, the documented procedure did not include a provision for obtaining authorization to use unapproved documents/date within procedural steps.			
CORRECTIVE ACTION RESPONSE: For examples 1 and 2, Code R will clarify the application of QSM 4.5 requirements relative to the documents/data maintained electronically, review and revise documented procedures to ensure conformance to QSM 4.5 requirements, and conduct additional training to assure the consistent implementation of QSM 4.5 requirements. For example 3, revise documented procedure(s) to identify the provision for authorization and use of interim/draft documents and/or data within procedural steps. Auditee's Signature			
District Office Use Only			
.....			
The above corrective action response has been reviewed by the undersigned and has been found: <input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/> Additional information required			
Reviewed	Lead Auditor	Date:	
Comments: Response appears adequate.			
follow-up at the next Periodical Audit.			
Results of corrective Action measures:			
<input type="checkbox"/> Implemented/Effective <input type="checkbox"/> Not Implemented/Not Effective <input type="checkbox"/> Verify implementation			
Lead Auditor		Date:	
Verified by:			
Comments:			

NONCONFORMITY NOTE..			
Auditee: NASA Headquarters,			Location: Washington, DC
Audit Dates: 17-21 May 1999			Order No.: 61-02734-64
Standard: ISO 9001, 1994	Clause No.: 4.16	TNCN No.: 04/1A	FCategory No.: 2
Department: Code Y - Office of Earth Science			
Finding: Contrary to the requirements of ISO 9001;1994 element 4.16, not in all cases, have required quality records been identified. For example: the quality record (work plan) revealed during interview that provides evidence of design review, design verification and organizational/technical interfaces, is not identified in section 7.0 of procedure HOW 1 000-YO01 A.			
Auditor Signature	Auditee Signature	Completion Date Agreed: 20 August 1999	
CAUSE OF NONCONFORMITY: Procedure HOWI 1000-YO01A did not identify the 'work plan" as a quality record even though the 'work plan" was being maintained as a quality record. This was an omission in the OWL			
CORRECTIVE ACTION RESPONSE: HOW 1 000-YO01 will be revised to include the "work plan' section 7, with QSM section 4.16 controls via NPG 1441. 1. Itwillalsobe identified in section 5 of the OWI flowchart. Auditee's Signature:			
	District Office Use Only		
The above corrective action response has been reviewed by the undersigned and has been found: <input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/> Additional information required			
Reviewed by:	Lead Auditor	Date:	
Comments: Response appears adequate			
Follow-up at the next Periodical Audit			
Results of Corrective Action Measures:			
<input type="checkbox"/> Implemented/Effective <input type="checkbox"/> Not Implemented/Not Effective <input type="checkbox"/> Verity Implementation			
Verified by:	Lead Auditor	Date:	
-Comments:			